

Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

SENATE

MAY -8 AM 11:25

Post-Travel Filing Instructions: Complete this form within 30 days of returning from travel. Submit all forms to the **Office of Public Records in 232 Hart Building.**

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☒ The **original** *Employee Pre-Travel Authorization* (Form RE-1), **AND**
- ☒ A **copy** of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Postsecondary National Policy Institute (PNPI)

Private Sponsor(s) (list all): _____

Travel date(s): April 19-20, 2017

Name of accompanying family member (if any): N/A

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	\$50.45	\$94	\$79	N/A
<input checked="" type="checkbox"/> Actual Amount				

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	N/A	N/A	N/A	N/A
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.): Attended a seminar on federal postsecondary data. See attached agenda for additional information.

5/4/17 Karishma Merchant Karishma Merchant
(Date) (Printed name of traveler) (Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

5/4/17 [Signature]
(Date) (Signature of Supervising Senator/Officer)



Federal Postsecondary Data Primer

Wednesday, April 19 - Thursday, April 20

Airlie Conference Center

Warrenton, VA

SEMINAR GOALS

- Introduce staff to, and extend their knowledge of, the postsecondary data sets housed and maintained at the U.S. Department of Education.
- Introduce staff to, and extend their knowledge of, postsecondary data sets housed and maintained outside of the U.S. Department of Education.
- Deepen staff understanding of federal data privacy and security laws, particularly as it relates to student level data.
- Introduce staff to data linkages across federal agencies.
- Lead staff through a data training exercise meant to increase their ability to access and analyze postsecondary data.

AGENDA

Wednesday, April 19

10:00AM-10:30AM

Arrive at Airlie Conference Center

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10:30AM-12:00PM

Introduction to Federal Postsecondary Data Sets

Speakers:

MaryEllen McGuire, President, Postsecondary National Policy Institute (PNPI)

Mamie Voight, Vice President of Policy Research, Institute for Higher Education Policy (IHEP)

Jason Delisle, Resident Fellow, American Enterprise Institute (AEI)

Questions for Discussion:

What are the primary postsecondary data sets housed at the U.S. Department of Education? What data does each set contain? What are the data currently used for? What data are currently missing?

What data exist on student loans, the student loan portfolio and student loan repayment? What data are missing on student loans, the student loan portfolio and student loan repayment?

What are the key metrics in and across the federal education databases?

12:00PM-1:15PM

Working Lunch with Experts

Lunch will provide an opportunity for staff to ask our data panelists additional questions.

1:15PM-1:30PM

Break

1:30PM-2:45PM

Other Postsecondary Data Sets

Speakers:

Jennifer Engle, Senior Program Officer, The Bill & Melinda Gates Foundation

Amy Laitinen, Director for Higher Education, New America

Discussion Questions:

What postsecondary data sets exist outside of the U.S. Department of Education?

What data do these sets contain? How different are their metrics from those used at ED?

Why are outside data systems necessary?

What are the shortcomings of these data sets?

Do outside data sets differ from the federal data sets, complement the federal data sets or supplement the federal data sets?

2:45PM-3:00PM

Break

3:00PM-4:30PM Interactive Data Training & Exercise

Facilitators:

Mamie Voight, Vice President of Policy Research, IHEP

Jared Bass, Federal Director, PNPI

4:30PM-5:00PM Day One Wrap-Up

Facilitators:

MaryEllen McGuire, President, PNPI

Jared Bass, Federal Director, PNPI

Discussion Questions:

- After today's panels, are there any questions that are still outstanding?
- Were there any topics not covered today that you had hoped would be?

5:00PM-5:30PM Hotel Check-in & Break

5:30PM-7:00PM Dinner & Day Two Preview Discussion

- Over dinner, PNPI staff will provide a preview of our day two panels with emphasis on exploring what staff know, don't know and want to know about data privacy and security as it relates to federal postsecondary data.

Thursday, April 20

8:30AM-9:30AM Breakfast & Check-out

9:30AM-10:45AM Data Privacy & Security

Speakers:

Joanna Grama, Director of Cybersecurity and IT GRC Programs, EDUCAUSE

Discussion Questions:

- What are the major privacy and security considerations surrounding postsecondary data?
- What is the difference between privacy and security?
- What are the current rules around collecting data and securing data?
- What is the Family Educational Rights and Privacy Act of 1974 (FERPA)?
- What rights do students have with regard to their personal data?
- What responsibilities do IHEs have with regard to collecting, storing and sharing data? What limitations do they face?
- What responsibilities does the Federal Government have with regard to collecting, storing and sharing data?
- What are the tradeoffs between privacy and security?

10:45AM-10:55AM Break

10:55AM-12:15PM Linkages Across Federal Data Systems

Speakers:

David Bergeron, Senior Fellow, Center for American Progress (CAP)

Rachel Zinn, Director, Workforce Data Quality Campaign(WDQC)

Discussion Questions:

What federal agencies other than the U. S. Department of Education collect and maintain postsecondary data?

What partnerships currently exist among federal agencies to share postsecondary data?

What roadblocks have been encountered by policymakers when trying to link federal databases? What road blocks have been overcome?

Specific to workforce data, what linkages exist at the federal level and between the federal government and states?

12:15PM-1:30PM Working Lunch with Experts

Lunch will provide an opportunity for staff to ask the day's panelists additional questions related to privacy, security and linkages that are of interest to them.

1:30PM-2:30PM Wrap-Up Discussion

Facilitators:

MaryEllen McGuire, President, PNPI

Jared Bass, Federal Director, PNPI

Discussion Questions:

What new information did you learn from today's panels?

What remaining questions do you have about federal postsecondary data systems in general?

What follow-up might you be interested in?

United States Senate

SELECT COMMITTEE ON ETHICS

April 10, 2017

Karishma Merchant
Office of Senator Tim Kaine
United States Senate
Washington, DC 20510

Dear Ms. Merchant:

This responds to your recent correspondence concerning an invitation you received to travel to a postsecondary data seminar, in Warrenton, Virginia, on April 19-20, 2017, sponsored by the Postsecondary National Policy Institute (PNPI). PNPI certified to the Select Committee on Ethics (the Committee) that it will pay the *necessary expenses*¹ related to the travel and that it is neither a lobbyist, nor lobbying firm, nor an agent of a foreign principal, and it is not otherwise acting as a representative or agent of a foreign government. PNPI has also certified that it does not retain or employ a registered lobbyist or agent of a foreign principal, and that no registered lobbyist will accompany you at *any point throughout your trip*.²

Based on information and materials available to the Committee, and assuming the **actual** travel and travel-related expenses conform to the information and materials you provided, it appears that the proposed payment or reimbursement of necessary expenses for this trip **may be accepted** under relevant Senate Rules and the Committee's *Regulations and Guidelines for Privately-Sponsored Travel*, so long as at the time of the payment or reimbursement, PNPI is neither a registered lobbyist nor lobbying firm under the Lobbying Disclosure Act of 1995, nor an agent of a foreign principal under the Foreign Agents Registration Act (and is not otherwise acting as a representative or agent of a foreign government), and provided the travel and all required documents are disclosed to the Secretary of the Senate in accordance with the provisions of Senate Rules 34 and 35.

Under Senate Rule 35, Senate staff must receive advance authorization signed by the Member or officer under whose direct supervision the individual works in order to accept payment or reimbursement for necessary expenses related to fact-finding travel. Further, such authorization and expenses must be disclosed to the Secretary of the Senate by filing the completed *Employee Pre-Travel Authorization* and the *Employee Post-Travel Disclosure of Travel Expenses* (Form RE-1 and Form RE-2), along with a copy of the *Private Sponsor Travel*

¹ The term "necessary expenses" has a specific definition. See *Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel – Glossary of Terms* at 8.

² The term "any point throughout your trip" has a specific definition. See *id.* at 2.

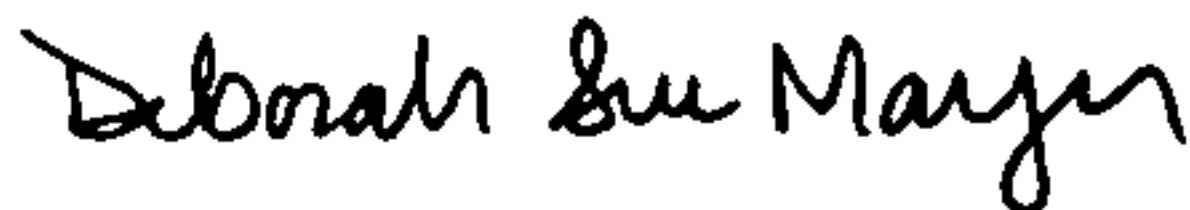
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Certification Form, and all relevant attachments (e.g., the private sponsor's invitation and itinerary) **within 30 days of the conclusion of Privately-Sponsored Travel.**

Finally, Senate Rule 34 requires a reporting individual,³ on his or her Financial Disclosure Report, to make an annual disclosure of the receipt of payments or reimbursements under Senate Rule 35 from a private sponsor for officially-related travel expenses where, in the aggregate, travel expenses exceed \$390 from that sponsor during a calendar year. However, if a Member, officer, or employee properly reports the receipt of necessary expenses for such travel to the Secretary of the Senate within 30 days of the travel, as discussed above, the travel expenses need not be disclosed a second time on their Financial Disclosure Report.

I hope you find this information helpful. If you have any additional questions, please do not hesitate to contact the Committee.

Sincerely,



Deborah Sue Mayer
Chief Counsel and Staff Director

Enclosure: Travel Checklist

³ A reporting individual is someone whose salary equals or exceeds 120% of the basic rate of pay for GS-15 (\$124,406 for CY 2017) or is a political fund designee and is required to file Financial Disclosure Reports.

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Form RE-1

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The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

- Private Sponsor Certification - Page 1 of 4

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

– OR –

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (*see questions 6 and 10*).

– OR –

☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

PNPI has created the agenda, developed the invitation list, and is managing all event logistics.

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

See attached.

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

See attached.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

In addition to multi-day seminars, PNPI sponsors Hill-based briefings for larger Hill audiences and is

available to all congressional staff for postsecondary related research support. Our website offers

resources including summaries of recent postsecondary reports and primers on higher education issues.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate	\$53.50 (calculated using Google Maps from U.S. Capitol - round trip)	\$94	\$79	N/A
<input type="checkbox"/> Actual Amounts				

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

This trip is arranged and organized specifically with regard to congressional participation.

18. Reason for selecting the location of the event or trip

Airlie is located approximately 60 minutes south of DC providing convenient access for congressional staff.

In addition to meeting space, this location offers on-site accommodations.

19. Name and location of hotel or other lodging facility:

Airlie Conference Center, 6809 Airlie Road, Warrenton, VA 20187

20. Reason(s) for selecting hotel or other lodging facility:

The facility provides both meeting space and overnight lodging on-site.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

Lodging for congressional staff costs \$94/night, the federal per diem. Meal costs are \$46 on day one

(lunch, dinner, incidentals) and \$33 on day two (breakfast, lunch, incidentals), both rates are at the federal per diem rate.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

The staff will drive their personal vehicles to the seminar location.

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

N/A

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor:



Name and Title: MaryEllen McGuire, President

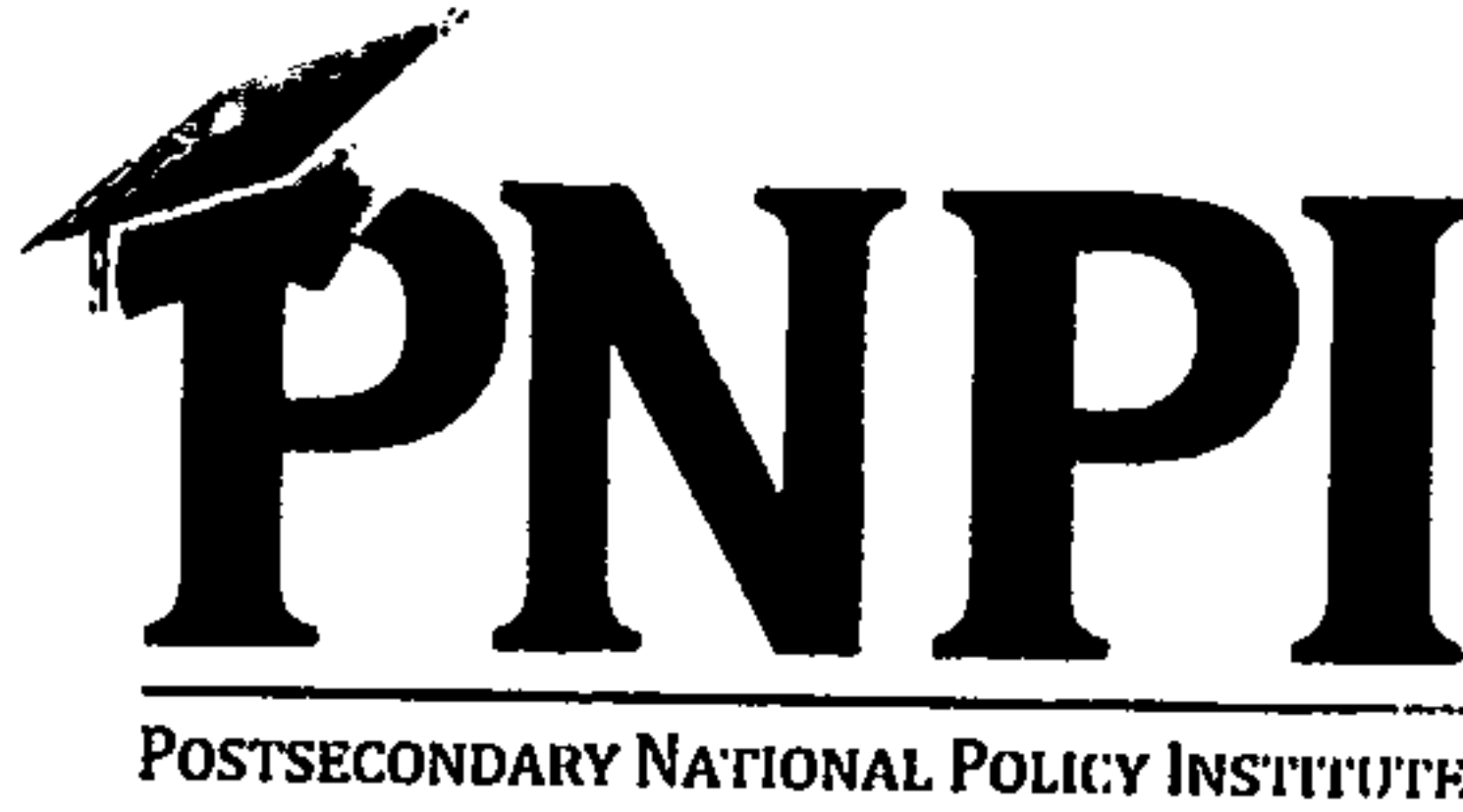
Name of Organization: Postsecondary National Policy Institute (PNPI)

Address: 718 7th Street NW, Floor 2, Washington, DC 20001

Telephone Number: 202-841-7359

Fax Number:

E-mail Address: mcguire@pnpi.org



Postsecondary Data Primer
Wednesday, April 19 - Thursday, April 20
Airlie Conference Center
Warrenton, VA

SEMINAR GOALS

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- Deepen staff understanding of federal data privacy and security laws, particularly as it relates to student level data.
- Introduce staff to data linkages across federal agencies.
- Lead staff through a data training exercise meant to increase their ability to access and analyze postsecondary data.

AGENDA

Wednesday, April 19

10:00AM-10:30AM

Arrive at Airlie Conference Center

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10:30AM-12:00PM

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Speakers:

MaryEllen McGuire, President, Postsecondary National Policy Institute (PNPI)

Mamie Voight, Vice President of Policy Research, Institute for Higher Education Policy (IHEP)

Jason Delisle, Resident Fellow, American Enterprise Institute (AEI)

Questions for Discussion:

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What are the key metrics in and across the federal education databases?

12:00PM-1:15PM

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Lunch will provide an opportunity for staff to ask our data panelists additional questions.

1:15PM-1:30PM

Break

1:30PM-2:45PM

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Speakers:

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Amy Laitinen, Director for Higher Education, New America

Discussion Questions:

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What data do these sets contain? How different are their metrics from those used at ED?

Why are outside data systems necessary?

What are the shortcomings of these data sets?

Do outside data sets differ from the federal data sets, complement the federal data sets or supplement the federal data sets?

2:45PM-3:00PM

Break

3:00PM-4:00PM

Interactive Data Training & Exercise

Facilitators:

Mamie Voight, Vice President of Policy Research, IHEP

Jared Bass, Federal Director, PNPI

4:00PM-4:30PM

Day One Wrap-Up

Facilitators:

MaryEllen McGuire, President, PNPI

Jared Bass, Federal Director, PNPI

Discussion Questions:

After today's panels, are there any questions that are still outstanding?
Were there any topics not covered today that you had hoped would be?

4:30PM-5:30PM

Hotel Check-in & Break

5:30PM-7:00PM

Dinner

Thursday, April 20

8:30AM-9:30AM

Breakfast & Check-out

9:30AM-10:45AM

Data Privacy & Security

Speakers:

Joanna Grama, Director of Cybersecurity and IT GRC Programs, EDUCAUSE

Discussion Questions:

What are the major privacy and security considerations surrounding postsecondary data?
What is the difference between privacy and security?
What are the current rules around collecting data and securing data?
What is the Family Educational Rights and Privacy Act of 1974 (FERPA)?
What rights do students have with regard to their personal data?
What responsibilities do IHEs have with regard to collecting, storing and sharing data? What limitations do they face?
What responsibilities does the Federal Government have with regard to collecting, storing and sharing data?
What are the tradeoffs between privacy and security?

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10:45AM-10:55AM **Break**

10:55AM-12:15PM **Linkages Across Federal Data Systems**

Speakers:

David Bergeron, Senior Fellow, Center for American Progress (CAP)

Rachel Zinn, Director, Workforce Data Quality Campaign(WDQC)

Discussion Questions:

What federal agencies other than the U. S. Department of Education collect and maintain postsecondary data?

What partnerships currently exist among federal agencies to share postsecondary data?

What roadblocks have been encountered by policymakers when trying to link federal databases? What road blocks have been overcome?

Specific to workforce data, what linkages exist at the federal level and between the federal government and states?

12:15PM-1:30PM **Working Lunch with Experts**

Lunch will provide an opportunity for staff to ask the day's panelists additional questions related to privacy, security and linkages that are of interest to them.

1:30PM-2:30PM **Wrap Up Discussion**

Facilitators:

MaryEllen McGuire, President, PNPI

Jared Bass, Federal Director, PNPI

Discussion Questions:

What new information did you learn from today's panels?

What remaining questions do you have about federal postsecondary data systems in general?

What follow-up might you be interested in?

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ATTACHMENT:

Senate Private Sponsor Travel Certification Form

2. Description of the Trip:

This seminar is designed to introduce staff to, and extend their knowledge of, the postsecondary data sets housed and maintained at the U.S. Department of Education and postsecondary data sets housed and maintained outside of the U.S. Department of Education. We will also deepen staff understanding of federal data privacy and security laws, particularly as it relates to postsecondary data, and introduce staff to data linkages across federal agencies. Finally, we plan to lead staff through a data training exercise meant to increase their ability to access and analyze postsecondary data.

A detailed agenda is attached.

5. Name and title of Senate invitees:

Katie Brown
Legislative Assistant
Senator Collins

Kara Marchione
Director of Education Policy
Senator Murray

Lauren Davies
Education Policy Advisor
Senator Alexander

Bryce McKibben
Policy Advisor
Senator Murray

Josh Delaney
Legislative Assistant
Senator Warren

Karishma Merchant
Legislative Assistant
Senator Kaine

Andrew LaCasse
Education Policy Advisor
Senator Alexander

Bob Moran
Education Policy Advisor
Senator Alexander

All staff were invited due to their employment with a Member who sits on the Senate HELP Committee.

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

PNPI provides professional development to Congressional staff who work on higher education issues. This seminar is designed to introduce staff to, and extend their knowledge of, the postsecondary data sets housed and maintained at the U.S. Department of Education and postsecondary data sets housed and maintained outside of the U.S. Department of Education. We will also deepen staff understanding of federal data privacy

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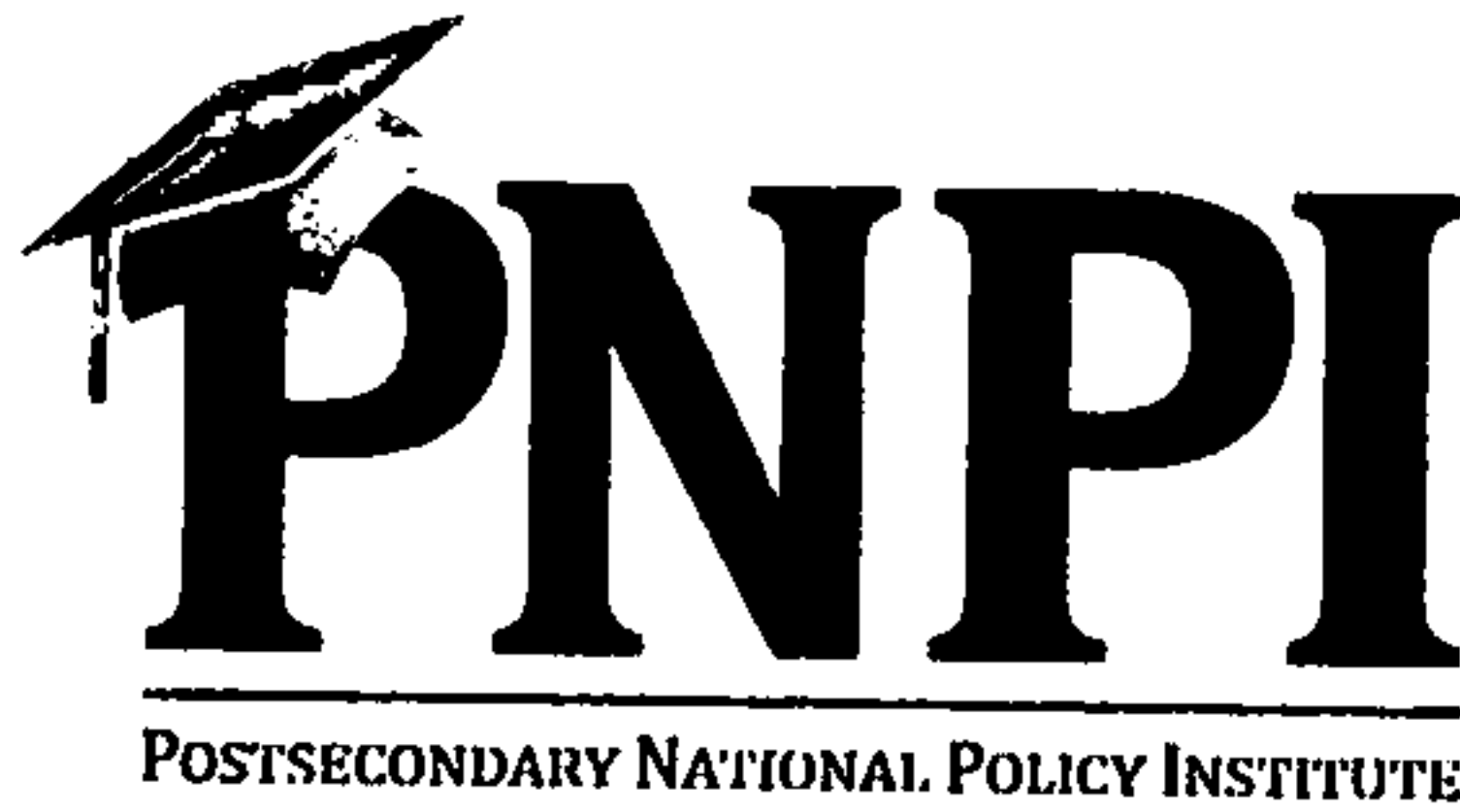
and security laws, particularly as it relates to postsecondary data, and introduce staff to data linkages across federal agencies. Finally, we plan to lead staff through a data training exercise meant to increase their ability to access and analyze postsecondary data.

A detailed agenda is attached.

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

PNPI has sponsored fourteen prior seminars on the topics of college cost (held in Towson, Maryland in May 2012), student financial aid (held at New America and George Mason University in August 2012, the George Washington University in August 2013, the University of Virginia in August 2014 and the Kent Manor Inn in Stevensville, MD in May 2015), higher education accreditation (held in Owings Mills, Maryland in January 2013 and in Warrenton, VA in March 2016), competency-based education and prior learning assessment (held in Manchester, New Hampshire in May 2013), MOOCs and online learning (held at the Airlie Center in Warrenton, VA in April 2014), Minority-Serving Institutions (held in Atlanta, GA in October 2014 and in Seattle, WA in October 2015), non-traditional students (held at the Kent Manor Inn in Stevensville, MD in August 2015), and loan servicing (held in Harrisburg, PA in August 2016). PNPI also sponsored a general issues Boot Camp (held at Kent Manor in Stevensville, MD in June 2016). All prior PNPI trips have been approved by the Ethics Committee.

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March 9, 2017

Dear Karishma Merchant,

We are writing to invite you to participate in the Postsecondary National Policy Institute's (PNPI) seminar on postsecondary data, April 19-20, 2017 in Warrenton, VA.

This seminar is designed to extend your knowledge of the postsecondary data sets housed and maintained within and outside the U.S. Department of Education. It will also deepen your understanding of federal data privacy and security laws, particularly as it relates to student level data. Finally, it will introduce you to data linkages across federal agencies.

PNPI fully complies both with the rules enacted by the United States Senate and with the provisions contained in S.1 (P.L. 110-81) as they relate to privately-funded travel of Congressional staff. Included with this invitation are all the forms necessary for Ethics rules compliance.

By Monday, March 20, 2017, you must submit the following forms and documents directly with the Ethics Committee in Hart 220:

- A copy of this PNPI invitation;
- A completed Private Sponsor Travel Certification Form with all attachments, including a Senate invitee list;
- An itinerary and agenda; and
- A completed and signed Employee Pre-Travel Authorization Form.

After receiving the completed travel package, the Ethics Committee will review the package and issue an approval for travel to you or your sponsoring Member. The Ethics Committee advises all Senate employees to maintain copies of all submitted forms for their own records. After the seminar, we will provide you with a post-travel form that you will need to complete and submit to the Ethics Committee.

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Even if you are unsure you will be able to attend the seminar, please submit the paperwork so you will have the option to participate. **Paperwork submitted to the Ethics Committee after the deadline will not be considered.** For planning purposes, **PNPI must receive your RSVP no later than March 16.** Please send your RSVP directly to Jared Bass at bass@pnpi.org.

Attendance is by invitation only, with no outside observers or lobbyists. Funding is provided solely by grants from established foundations. No government, individual, foreign, corporate or special interest money is accepted. The foundations supporting PNPI are the Bill and Melinda Gates Foundation and the Lumina Foundation. PNPI maintains autonomy over the agenda, invitations and materials provided before and after the seminar.

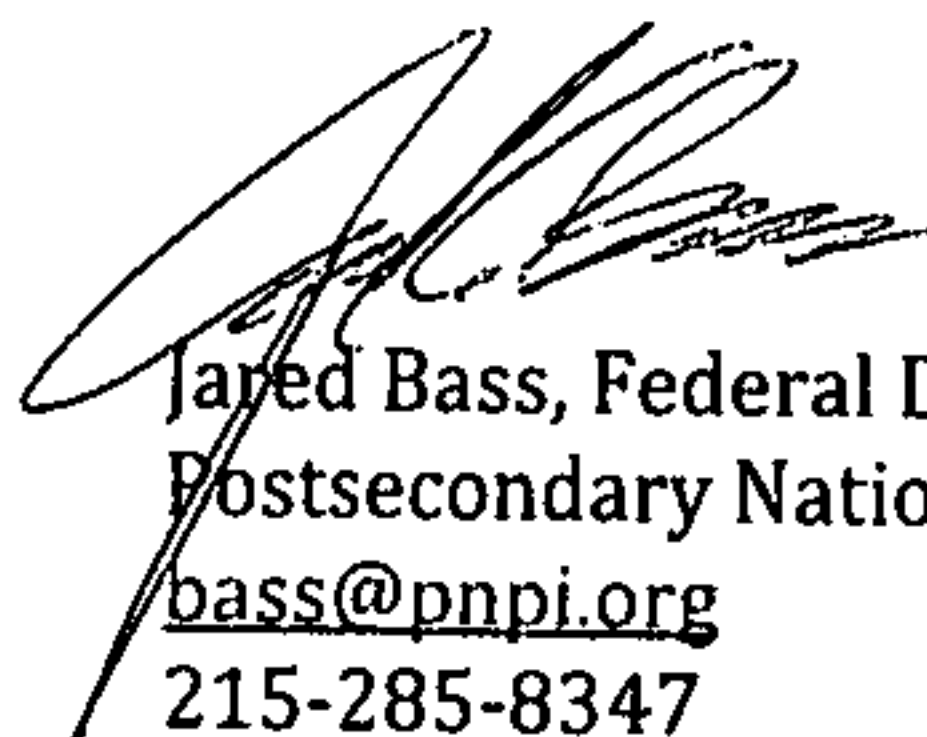
The program will begin at Airlie Conference Center in Warrenton, VA on Wednesday, April 19 at 10:00 AM and will conclude on Thursday, April 20 at 2:30 PM. If you have any questions about the seminar, please do not hesitate to email or call us directly.

PNPI's seminar on Postsecondary Data promises to be both educational and productive. We look forward to your participation!

Sincerely,



MaryEllen McGuire, President
Postsecondary National Policy Institute (PNPI)
mcguire@pnpi.org
202-841-7359



Jared Bass, Federal Director
Postsecondary National Policy Institute (PNPI)
bass@pnpi.org
215-285-8347

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